VERIFIED STATEMENT (CLARATION) CERTIFIED STATEMENT					Docket No. 0109015/016	
Serial No. Filing Date Patent No September 20, 1999 -						Issue Date
Applicant/ Re Patentee:	enji Yang and	Karl K. Johe				
Invention: S'	TABLE NEUF	RAL STEM CELI	LINES			
for purposes of	of paying redu	uced fees under	section 41	ualify as an independent 1(a) and (b) of Title 35, U above and described in:	inventor as de nited States C	efined in 37 CFR 1.9(c) Code, to the Patent and
		to be filed herewi				
☐ the	application id	entified above.				
□ the	patent identifi	ied above.				
have not as grant, convey inventor unde small busines Each person, obligation und	y or license, a er 37 CFR 1.9 es concern und , concern or o der contract of such person, o	any rights in the l(c) if that person der 37 CFR 1.9(d) organization to we relaw to assign, greconcern or organi	invention had mad ) or a non which I ha rant, conv		not be classii concern which 37 CFR 1.9(e). nveyed, or lic	fied as an independent n would not qualify as a ensed or am under an
Each such person, concern or organization is listed below.						
	rights to the	e invention averri	ng to their	ired from each named per status as small entities (3	37 CFR 1.27)	
FULL NAME ADDRESS		Biopharmaceutical gy Drive, College				
		Individual		Small Business Concern		Nonprofit Organization
FULL NAME ADDRESS		Individual		Small Business Concern		Nonprofit Organization
FULL NAME ADDRESS						
		Individual		Small Business Concern		Nonprofit Organization
FULL NAME ADDRESS				Small Business Concern		Nonprofit Organization
1		Individual	u	Small Business Concern	L	Montpront Organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF INVENTOR Renji Yang		
SIGNATURE OF INVENTOR	DATE:	
NAME OF INVENTOR Karl K. Johe		
SIGNATURE OF INVENTOR	DATE:	
NAME OF INVENTOR		
SIGNATURE OF INVENTOR	DATE:	
NAME OF INVENTOR	•	
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maintenance fee due after the date on wh	hich status as a small	entity is no longer appropria	te. (37 CFR 1.28(b))
I hereby declare that all statements made information and belief are believed to be willful false statements and the like so multitle 18 of the United States Code, as application, any patent issuing thereon, or	e true; and further that lade are punishable by nd that such willful i	these statements were mady fine or imprisonment, or bo false statements may jeop	oth, under Section 1001 of ardize the validity of the
NAME OF INVENTOR Renji Yang			41.51.4
NAME OF INVENTOR Renji Yang SIGNATURE OF INVENTOR	Regi yang	DATE:	9117/19
NAME OF INVENTOR Karl K. John			alalaa
NAME OF INVENTOR Karl K. Johc SIGNATURE OF INVENTOR	Kulk.	() he DATE:	9/11/97
NAME OF INVENTOR			
SIGNATURE OF INVENTOR		DATE:	· · · · · · · · · · · ·
NAME OF INVENTOR			
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NAME OF INVENTOR	<u>,</u>		
SIGNATURE OF INVENTOR	Commission of the Commission o	DATE:	**
NAME OF INVENTOR			
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NAME OF INVENTOR			
SIGNATURE OF INVENTOR			<u></u>
NAME OF INVENTOR		DATE:	

SIGNATURE OF INVENTOR

## VERIFIED STATEMENT CLARATION) CLAIMING SMALL NTITY

Docket No.

STATUS (37 CFR 1.	.9(f) AND 1.27 (c)) - SMAI	L BUSINESS CONCERN		0109015/016
Serial No.	Filing Date September 20, 1999	Patent No.	Issue Date	
-	September 20, 1777	-		
Applicant/ Renji Yang and Patentee:	Karl K. Johe			
Invention: STABLE NEUR	RAL STEM CELL LINES			
I hereby declare that I am:		d balance		
	small business concern identifie		cern ide	entified below
🗷 an official of the s	нтан business concern empowe	ered to act on behalf of the con	Join lut	January Dolow.
	uralStem Biopharmaceuticals, L			
ADDRESS OF CONCERN:	387 Technology Drive, College	Park, MD 20742		
hereby declare that the ab	ove-identified small business of	concern qualifies as a small bus	siness c	concern as defined in
13 CFR 121.3-18, and rep	roduced in 37 CFR 1.9(d), for	purposes of paying reduced fe	es unde	er Section 41(a) and
(b) of Title 35. United State	es Code, in that the number of	employees of the concern, inc	cluding t	those of its affiliates,
is the average over the pr	revious fiscal year of the cond	ment, (1) the number of employ cern of the persons employed	on a fu	ull-time, part-time or
temporary basis during eac	ch of the pay periods of the fisc	cal year, and (2) concerns are a	affiliates	s of each other when
either, directly or indirectly	, one concern controls or has	the power to control the othe	r, or a	inira party or parties
controls or has the power to				
concern identified above wi	ts under contract or law have ith regard to the above identified	e been conveyed to and rema ed invention described in:	ain with	the small business
.□ <b>X</b> the specification	on filed herewith with title as lis	ted above.		
	identified above.			
☐ the patent ider				
If the rights held by the s	above-identified small busines	s concern are not exclusive,	each in	idividual, concern or
organization having rights	to the invention is listed on the	e next page and no rights to th	ne inver	ntion are held by any
person other than the inve	entor, who could not qualify a	s an independent inventor und	ier 37 C	CFR 1.9(c) or by any
concern which would not q 37 CFR 1.9(e).	quality as a small business con-	cern under 37 CFR 1.9(d) or a	TOTALO!	m organization under
0, 01 K 1.0(0).				
				·

Each person, obligation und	concern or er contract	organization or law to ass	n to which I h ign, grant, con	nave assigned, granted, convey, or license any rights i	onveyed, or lic in the invention	censed or am under an n is listed below:
			organization ex or organization	xists. is listed below.		
FULL NAME ADDRESS		Individual		Small Business Concern		Nonprofit Organization
FULL NAME ADDRESS						
		Individual		Small Business Concern		Nonprofit Organization
FULL NAME ADDRESS						
		Individual		Small Business Concern		Nonprofit Organization
FULL NAME						
ADDRESS		Individual		Small Business Concern	. 🗆	Nonprofit Organization
Separate ve	rified staten	nents are re	quired from e	ach named person, conce	ern or organiza	ation having rights to the
invention ave	erring to the	ir status as s	mall entities. (	(37 CFR 1.27)		
∰ ∏I acknowledg	ge the duty	to file, in thi	s application	or patent, notification of a	ny change in	status resulting in loss of
"4'41 A	مم المحمد ما	titu ctatus n	rior to naving	, or at the time of paying as as a small entity is no lon	o, the earliest	of the issue fee of any
. #4						
I hereby dec	and helief a	re believed t	o be true: and	of my own knowledge are I further that these stateme	ents were mad	e with the knowledge that
"" willful folco	tataments s	and the like o	o made are n	unishable by fine or impris	sonment, or bo	th, under Section 1001 of
Title 18 of application,	the United any patent i	States Codessuing there	e, and that s on, or any pate	uch willful false statement to which this verified st	atement is dire	ected.
NAME OF PE	RSON SIG	NING:	I. Richard G	arr		
TITLE OF PE	RSON SIGI	VING				
OTHER THAN	N OWNER:		President an	d CEO		
ADDRESS OF	F PERSON	SIGNING:	NeuralStem	Biopharmaceuticals, Ltd.		
!			387 Technol	ogy Drive		
			College Parl	k, MD 20742		
SIGNATURE				DA	TE:	
0.0.0						

Patent and Trademark Unice-0.4. PREV01 Copyright 1 Lo any nyma in the invention is listed below: no such nerson, concern or organization exists. and assess concern or organization is listed below. FULL NAME ADDRESS Nonprofit Organization Individual **FULL NAME** ADDRESS Small Business Concern Individual **FULL NAME** ADDRESS Nonprofit Organization Small Business Concern Individual FULL NAME ADDRESS Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27) I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b)) 11 hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed. NAME OF PERSON SIGNING: I. Richard Garr TITLE OF PERSON SIGNING President and CEO OTHER THAN OWNER: NeuralStem Biopharmaceuticals, Ltd. ADDRESS OF PERSON SIGNING: 387 Technology Drive College Park, MD 20742

Docket No. 0109015/016

## **Declaration and Power of Attorney For Patent Application English Language Declaration**

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

	I believe I am the original, first and joint inventor (if plur which a patent is sought on the sought of the sought on the sought of the sought on the sought of the sough	al names are listed below)	one name is listed belo of the subject matter wh	mich is cla	aimed and for
	STABLE NEURAL STEM CEL	L LINES			
	the specification of which				
:::4 :::3	(check one)				
]	is attached hereto.				
	□ was filed on	as Unite	d States Application No	or PCT	International
::# [[]	Application Number				
	and was amended on				
``. <u>i</u>		(if	applicable)		
The Court Court Court Court	I hereby state that I have revincluding the claims, as ame I acknowledge the duty to diknown to me to be material Section 1.56.  I hereby claim foreign prior	ended by any amendment resistance to the United State at the patentability as define the control of the control	eferred to above.  s Patent and Trademarled in Title 37, Code of  b, United States Code,	Office a Federal Section	all information Regulations, 119(a)-(d) or
	Section 365(b) of any foreign any PCT International app States, listed below and har patent or inventor's certification on which priority	gn application(s) for patent lication which designated ve also identified below, by te or PCT International app	or inventor's certificate at least one country of checking the box, any	e, or Sectother that foreign a	in the United application for
	Prior Foreign Application(s)			Priority	Not Claimed
	(Number)	(Country)	(Day/Month/Year Filed)		
	(Number)	(Country)	(Day/Month/Year Filed)		_
	(Number)	(Country)	(Day/Month/Year Filed)		



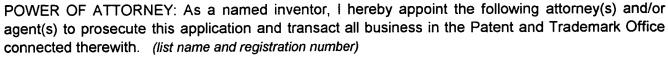
I hereby claim the benefit under 35 U.S.C. Section 119(e) of any United States provisional

60/101,354	<b>September 22, 1998</b>
(Application Serial No.)	(Filing Date)
(Application Serial No.)	(Filing Date)
(Application Serial No.)	(Filing Date)

I hereby claim the benefit under 35 U. S. C. Section 120 of any United States application(s), or Section 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. Section 112, I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, C. F. R., Section 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application:

09/053,414		April 1, 1998	pending		
(Application	Serial No.)	(Filing Date)	(Status) (patented, pending, abandoned)		
08/719,	450	<b>September 25, 1996</b>	patented		
(Application	Serial No.)	(Filing Date)	(Status) (patented, pending, abandoned)		
(Application	Serial No.)	(Filing Date)	(Status) (patented, pending, abandoned)		

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.



Dante J. Picciano Reg. No. 33,543 Adam H. Masia Reg. No. 35,602

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P.O. Box 1135

Chicago, IL 60690-1135

Direct Telephone Calls to: (name and telephone number)

Dante J. Picciano (312) 372-1121

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..."

 Full name of sole or first inventor

Renji Yang

Sole or first inventor's signature

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Citizenship

People's Republic of China

Post Office Address 11700 Old Columbia Pike, Apt. 1101, Silver Spring, MD 20904

Full name of second inventor, if any

Karl K. Johe

Second inventor's signature

Date

Date

Residence

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Citizenship

U.S.A.

Post Office Address

18041 Stanmore Drive, Potomac, MD 20854



Form PTO-SB-01 (8-85) (Modified)

Patent and Trademark Office-U.S. DEPARTMENT OF COMMERCE

connected therewith. (list name and registration number)

Dante J. Picciano Reg. No. 33,543 Adam H. Musia Reg. No. 35,602

Send	Corres	pondence	to:
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[...]

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Dante J. Picciano (312) 372-1121

Full name of sole or first inventor  Renji Yang	, <u></u> ,
Sole or first inventor's algorithms  Region (1)	Date 9 (17/99
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Citizenship People's Republic of China	
Post Office Address 11700 Old Columbia Pike, Apt. 1101, Silver Spring, MD 20904	

	1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1
	Full name of second inventor, if any
	Karl K. Johe
_,	Second inventor's signature 9/17/99
	Residence 10841 Stanmore Drive, Potomac, MD 20854
_	Citizenship U.S.A.
_	Post Office Address 18041 Stanmore Drive, Potomac, MD 20854